

DT07 Rec'd PCT/PTO 2 3 DEC 2004

PATENT APPLICATION Docket No. URQU.P-012

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Heasman, et al.

Application No.: 10/511,775

Title: Intrusion Detection System

Art Unit: 2632

Filing Date: October 18, 2004 Confirmation Number: 6608

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents P O Box 1450 Alexandria, VA 22313-1450

Sir:

Applicant requests that the references cited on the attached substitute form 1449 be included in the record of the above-referenced patent application. Copies of the references are provided herewith.

No fee is believed to be due with this paper as three months have not passed since filing and we have not received an action on the merits. However, should it be deemed necessary, the Commissioner is authorized to debit any additional fees deemed due from Deposit Account No. 15-0610.

> Respectfully submitted, OPPEDAHL & LARSON, LLP

Carl Oppedahl, PTO Reg. No. 32,746

P.O. Box 5068

Dillon, CO 80435-5068

970-468-6600/telephone

970-468-0104/facsimile

CERTIFICATE OF FIRST CLASS MAIL UNDER 37 CFR § 1.8

I hereby certify that this paper and the attachments named herein are being deposited with the United States Postal Service as First Class Mail in an envelope addressed to Commissioner for Patents, P O Box 1450, Alexandria, VA 22313-1450 on December 14, 2004 by Mary Winston.

Date of Signature

PTO/SB/08a (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

| Uacer | the Paperwork Reduction Act of 1995, no | perso | ons are required to resp | U.S. Patent and Tradem cond to a collection of information | ark Office; U.S. DEPARTMENT OF COMMERC on unless it displays a valid OMB control numb | | |
|-------|---|-------|--------------------------|---|--|--|--|
| ,EV | Substitute for form 1449A/PTO | | <u> </u> | Complete if Known | | | |
| | | | | Application Number | 10/511,775 | | |
| | INFORMATION DISC | CLO | SURE | Filing Date | October 18, 2004 | | |
| | STATEMENT BY AP | PLI | CANT | First Named Inventor | Heasman et al. | | |
| | (Use as many sheets as nec | | | Art Unit | 2632 | | |
| | · | | • | Examiner Name | | | |
| Sheet | 1 | of | 2 | Attorney Docket Number | URQU.P-012 | | |

| U.S. PATENT DOCUMENTS | | | | | | | |
|-----------------------|--------------|---|--------------------------------|--|---|--|--|
| Examiner Initials* | Cite No.1 | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | | |
| | | Number-Kind Code ^{2 (# known)} | Will BB TTTT | 7 ppilodit of offed boodiners | | | |
| | | US-6,370,648 | 04-09-2002 | Visa International Service Association | Columns 3 and 4 | | |
| | | US- | | | | | |
| | | US- | | | | | |
| | | US- | | | | | |
| | | US- | | | | | |
| | | US- | | | | | |
| | | US- | | | | | |
| | | US- | | | | | |
| | | US- | | | | | |
| | | US- | | | | | |
| | | US- | | | | | |
| | | US- | | | | | |
| | | US- | | | | | |
| | ļ | US- | | | | | |
| | | US- | | | | | |
| | | US- | | | | | |
| | | US- | | | | | |
| | | US- | | | | | |
| | | US- | | | | | |
| | l | US- | | | | | |

| | FOREIGN PATENT DOCUMENTS | | | | | | | | |
|-----------------------|--------------------------|--|--------------------------------|--|---|--|--|--|--|
| Examiner Initials* | Cite No.1 | Foreign Patent Document Country Code³ -Number⁴ - Kind Code⁵ (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | | | | |
| /AM/ | | WO 01/31420 A2 | 05-03-2001 | Visa International Service Association | 6-8, 11 | | | | |
| /AM/ | | WO 01/99372 A2 | 12-27-2001 | Security, Inc. | 17, 18, 26, 27, 30, 32, 33, 34, 38, 56, 100, 159-162 | | | | |
| /AM/ | | WO 02/27443 A2 | 04-04-2002 | ITT Manufacturing Enterprises, Inc. | 15, 16, 18 | | | | |
| | | | | | | | | | |
| | ļ | | | | | | | | |
| <u> </u> | | | | | | | | | |

| Examiner | /Aravind Moorthy/ | Date | 04/16/2008 | |
|-----------|---------------------------------------|------------|--------------|--|
| Signature | · · · · · · · · · · · · · · · · · · · | Considered | 0 1/ 10/2000 | |

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of US PTO Patent Documents at www.upsto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. This indication is a indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

| PHIN THA | DE Under the Pape | erwork Reduction Act of 1995 | i, no pers | ons are require | U.S. Patent and I | PTO/SB/08b (08-03) Approved for use through 06/30/2006. OMB 0651-0031 Trademark Office; U.S. DEPARTMENT OF COMMERCE formation unless it displays a valid OMB control number. Complete if Known 0/511,775 |
|----------|-----------------------------------|------------------------------|------------|-----------------|------------------------|--|
| | Substitute fo | r form 1449B/PTO | | | | Complete if Known |
| | | | | | Application Number | 0/511,775 |
| | INFORMATION DISCLOSURE | | | | Filing Date | October 18, 2004 |
| | STAT | EMENT BY API | PLIC | ANT | First Named Inventor | Heasman et al. |
| • | | | | | Art Unit | 2632 |
| | (Use as many sheets as necessary) | | | | Examiner Name | |
| | Sheet | 2 | of | 2 | Attorney Docket Number | UROU P-012 |

| | | NON PATENT LITERATURE DOCUMENTS | |
|-----------------------|--------------|---|----|
| Examiner Initials* | Cite No.1 | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T² |
| /AM/ | | DEBAR, ET AL., "A Revised Taxonomy for Intrusion-Detection Systems", 07-2000, Page(s) 361-378, Volume 55, Number 7/8, Publisher: Presses Polytechniques et Universitaires Romandes, Published in: Lausanne, Switzerland | |
| /AM/ | | ILGUN, KORAL, "USTAT: A Real-Time Intrusion Detection System for UNIX", 05-24-1993, Page(s) 16-28, Volume SYMP. 14, Publisher: IEEE Comp. Soc. Press, Published in: Los Alamitos, CA, USA | |
| /AM/ | | KO, CALVIN, "Logic Induction of Valid Behavior Specifications for Intrusion Detection", 05-14-2000, Page(s) 142-153, Publisher: IEEE Comput. Soc., Published in: Los Alamitos, CA, USA | |
| /AM/ | | LEE, ET AL., "A Framework for Constructing Features and Models for Intrusion Detection", ACM Transactions on Information and System Security, 11-2000, Page(s) 227-261, Volume 3, Number 4, Publisher: ACM, Inc., Published in: New York, NY, USA | |
| /AM/ | | LINDQUIST, ET AL., "Detecting Computer and Network Misuse Through the Production-Based Expert System Toolset (P-BEST)", 05-09-1999, Page(s) 146-161, Publisher: IEEE Comp. Soc., Published in: Los Alamitos, CA, USA | |
| /AM/ | | LUNT, ET AL., "Knowledge-Based Intrusion Detection", 03-27-1989, Page(s) 102-107, Volume Conf. 4, Publisher: IEEE Comp. Soc. Press, Published in: Washington, USA | |
| /AM/ | | SINCLAIR, ET AL., "An Application of Machine Learning to Network Intrusion Detection", Proceedings of 15th Annual Computer Security Applications Conference Dec. 1999, 12-1999, Page(s) All, Published in: Internet | |
| | <u>.</u> | | |
| | | | |
| | | | |
| | | | |

| | | | | |
|-----------|--|------------|------------|-----|
| Examiner | /Aravind Moorthy/ | Date | 04/16/2008 | |
| Signature | ,, , , , , , , , , , , , , , , , , , , | Considered | | - 1 |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.